Title I – 1003(g) - 2014-2015 School Year Grant Application
Directions and Guidance

1. LEAs must submit an application for EACH school applying for 1003(g).
2. LEAs and schools should reference the *scoring rubric* provided as additional guidance while completing the grant. http://www.doe.in.gov/outreach/turnaround/1003g-summary-sig-grants
3. There is not a page minimum or limit for the grant.
4. Submit all documents electronically to the following email address: 1003g@doe.in.gov by April 1, 2014.
5. In the email, list the documents provided.
   For example:
   A. *LEA and School Data for Steve School in January School Corp*
   B. *Transformation Model Plan*
   C. *Budget*
   D. *Letters of Support from A, B, C, and D*
   E. *Assurance Letters from Superintendent, School Board, and Teachers Union*
   F. *Resume of Transformation Principal, Turnaround Director, Executive Director of Elementary Education*
   G. *Hiring Process and PD Schedule*

   *Please note these are EXAMPLE documents for evidence. LEA and School Data, Model of Choice, and Budgets are required. The other types of documents will vary per district and school.

Part 1: Grantee Information

1. All areas of Part 1 must be completed.

Part 2: LEA and School Assurances and Waivers

1. The LEA/Eligible Entity must provide ALL assurances in its application.
2. The LEA/Eligible Entity must be able to provide, upon request, evidence of compliance with each assurance.

3. Names and titles of staff members who were workgroup members, had discussions about interventions to be implemented, and/or participated in the writing of the grant should be included.
4. LEAs and schools must list each meeting or other activity held to consult with stakeholders regarding the LEA's application and the implementation of the models in the school.
   A. Consider the stakeholder groups that need to be consulted regarding the LEA's intent to implement a new school improvement model.
   B. Include the stakeholders (e.g. parents, community organizations) as early as possible.
   C. Provide the meeting topic, date and time, number of members present from each stakeholder group, and the general discussion or feedback at the meeting. A sample is provided in the application.

Part 3: Schools to be Served by LEA

1. LEAs must submit INDIVIDUAL applications for EACH school applying.
2. Using the list of Eligible schools posted with the application (http://www.doe.in.gov/outreach/turnaround/1003g-summary-sig-grants), complete the chart in Part 3 for all schools eligible. Include the school name and grade span.
3. All schools listed should be marked as Priority.
4. List the model selected; if no model is selected explain why the LEA believes they do not have the capacity to serve this Priority school with an intervention.
5. This page should look the same for EACH school applying within an LEA.

Part 4: Needs Assessment and Goals

1. There are three sections to the Needs Assessment and Goals of Part 4.
2. It is recommended that schools complete a root cause analysis of the findings.
3. Develop findings from the data – short phrases and sentences that indicate the facts revealed by the data.
4. Consider the overall meaning of the data, the findings, and the root cause analysis in terms of students, teachers, and the principal and school needs.
5. In the first section schools will examine their ELA and Math ISTEP+ or ECA data.
   A. The ELA and math tables should be completed based on your overall student population, as well as available student groups that did *not* pass English/Language Arts and/or mathematics sections of ISTEP+ or ECA.
   B. *Groups to include would be: American Native, Asian, Black, Hispanic, White, Free/Reduced Lunch, Limited English Proficient and Special Education.*
   C. This section requires current data, as well as goals for the upcoming three years.
   D. *These goals should be reasonable and attainable. For example, if a school had 85% of their Free/Reduced Lunch students not passing, but put in a goal of 80% passing by 2016-2017*

> *IDOE would question how that goal is attainable and would want to see data related to the choice in that goal.*
>
> E. Schools may be asked how goal numbers were determined.
> F. Use the examples provided in the application as a guide.

6. The second section of the Needs Assessment and Goals in Part 4 covers Leading Indicators.
    A. Each school must complete the table regarding key areas of student learning indicators.
    B. *These indicators include: teacher and student attendance, dropout rates, advanced and dual coursework data, discipline, and teacher performance.*
    C. Current data to date for 2013-2014 should be used for school, student, and teacher data; goals for 2014-2015, as well as key findings related to this data should be included.
    D. If the indicator is not applicable, such as "dropout rate" for an elementary school, write "NA" – not applicable – in the column.
    E. Grantee awardees will need to submit final 2013-2014 data; additionally, the same data and upcoming year goals will be submitted at the end of each grantee year.
    F. Review the data and add key findings in the last column.
    G. *Example Key Findings:*
        - *Teachers, on average, are out of the classroom 32 days of the school year. Teachers work conditions are poor, teachers attend three weeks professional development during the year and the school has difficulty finding substitutes so students are placed in other teacher's classrooms.*
        - *The number of discipline referrals increased by 41% from semester 1 of 2012-2013 to semester 1 of 2013-2014. (195 – 329 referrals). This is due to teachers using the e-school discipline referral process more effectively to document inappropriate behavior. This has led to more students receiving behavioral support and placement in the appropriate program to meet their needs.*

7. The third area of the Needs Assessment and Goals in Part 4 involves analyzing specific needs of instructional programming, school leadership, and school infrastructure.
    A. For this section, the Local Education Agency must show how it has (1) analyzed the specific needs for instructional programs, school leadership, and school infrastructure and (2) give justification for the selected interventions for these areas.
    B. For the LEA Analysis, include: detailed descriptions on what is currently occurring in the school, why this may or may not be working, and what needs may or may not be being met.
    C. For the justification for selected interventions, include: what new intervention or change will occur, and why this has been chosen.

Part 5: Selection of Improvement Model

1. Check the improvement model your school plans to implement.
2. It is recommended to: give a description of how the model corresponds to the data; detail each finding and analysis; and explain the self-assessment that led to the selected model.   Be specific and detailed in what data you used, your findings and analysis, and how the model was chosen
3. It is recommended to: give specific, detailed examples of how the model will create teacher, principal, and student change.

Part 6: Improvement Model

1. **Complete the appropriate intervention model of choice.** Schools should only complete the model they wish to implement.
2. All areas of pre-implementation have to be taking place to receive full scoring.
3. Check expenditures in pre-implementation to be sure supplanting will not occur.
4. Each school must write an overall SMART goal for culture and academics, and then each school will break down action steps related to the three years of the grant by specific principle. Finally, each school will also write sustainability goals related to culture and academics, along with action steps.
5. SMART goals must be specific, measurable, attainable, realistic, timely, and aligned to the needs of the school.
6. Academic SMART goal: the "other" should be based on the needs of each school. *Examples of "others" may be overall school growth, or graduation rate.*
7. Action steps should be very detailed. *For example, schools could include action steps for posting the principal opening, the hiring process for the principal opening, the types of flexibility the principal may have, as well as how that flexibility may be used just for the first Turnaround principle of "replace the principal and grant principal operational flexibility".*
8. Sustainability goals must show strong evidence of sustaining reforms after the funding period ends.
9. *Turnaround Model Notes:*
   In focusing on Teachers and Leaders, The Turnaround Model requires replacing the current principal and rehiring no more than 50% of the existing staff in the building. Staff should be given an opportunity to reapply and those chosen should exhibit characteristics of turnaround in their teaching and goals for the building. A clear process for hiring new staff should be in place. And, schools should implement strategies to recruit new staff and replace the staff who are not rehired. Additionally, schools should implement rewards for staff who have increased student achievement. Rewards do not have to be monetary. For example, they could consist of additional resources in the classroom, career growth, leadership opportunities, and flexible working conditions.

   In focusing on Instruction and Support Strategies, The Turnaround Model requires schools to select and implement an instructional model based on student needs. This program should be

research based, rigorous, and aligned to the state standards. Additionally, staff should be provided job-embedded professional development designed to build capacity and support staff. This PD should be informed by teacher evaluation and support systems, as well as tied to teacher and student needs. Data should also be used continually to inform and differentiate instruction. Staff should have time to collaborate and discuss data regularly.

In focusing on Time and Support, The Turnaround Model requires schools to provide increased learning time for students and collaboration time for staff. Schools should implement additional learning time within the school day, and/or before or after school tutoring options for students. Additionally, Professional Learning Communities and collaboration time for staff should be added to schedules. Schools will need to implement social-emotional and community oriented services and supports – schools should have a clear Positive Behavior Incentive System or some other behavior system in place, as well as student recognition programs, and student groups, which are geared towards student interest, present in building.

All of the previous pieces of the turnaround model relate back to the Governance Factor of Turnaround. Through deciding to implement turnaround work, a corporation must allow each school operational flexibility and utilization of a new governance structure. A new governance structure would give schools flexibility in hiring (the new principal and 50% of new staff, flexibility in the hiring process, and autonomy of staffing in the school improvement grant building) and would require a leadership team to be in place (possibly principal, assistant principals, counselors, coaches, behavior specialists, etc). Additionally, flexibility with the school schedule (redesign the school day, week, or year to allow for instructional interventions for students and learning and collaboration for staff), curriculum changes, and budget areas should be given. This flexibility should be in place throughout the implementation of school improvement grant.

10. Transformation Model notes:
    In focusing on Teachers and Leaders, The Transformation Model requires replacing the current principal, as well as a clear process for hiring new staff. Schools should implement strategies to recruit staff, and rewards for staff who have increased student achievement. Rewards do not have to be monetary. For example, they could consist of additional resources in the classroom, career growth, leadership opportunities, and flexible working conditions. Transformation requires schools to develop an evaluation system for teachers and principals using student growth data and multiple assessments, as well as remove staff who, after opportunities to improve, have not improved. *Though this model does not have the no more than 50% rehire requirement, it is still recommended that schools and corporations give staff who do not feel they can successfully be part of the Transformation of a school an opportunity to transfer to other sites within the district.*

    In focusing on Instruction and Support Strategies, The Transformation Model requires schools to select and implement an instructional model based on student needs. This program should be research based, rigorous, and aligned to the state standards. Additionally, staff should be provided job-embedded professional development designed to build capacity and support staff.

This PD should be informed by teacher evaluation and support systems, as well as tied to teacher and student needs. Data should also be used continually to inform and differentiate instruction. Staff should have time to collaborate and discuss data regularly.

In focusing on Time and Support, The Transformation Model requires schools to provide increased learning time for students and collaboration time for staff. Schools should implement additional learning time within the school day, and/or before or after school tutoring options for students. Additionally, Professional Learning Communities and collaboration time for staff should be added to schedules. Ongoing mechanisms for community and family engagement should be present, and schools will need to implement social-emotional and community oriented services and supports – schools should have a clear Positive Behavior Incentive System or some other behavior system in place, as well as student recognition programs, and student groups, which are geared towards student interest, present in building.

All of the previous pieces of the transformation model relate back to the Governance Factor of Transformation. Through deciding to implement transformation work, a corporation must allow each school operational flexibility and ongoing technical assistance. As stated through previous transformation principles operational flexibility in hiring should occur (flexibility in the hiring process, and autonomy of staffing in the school improvement grant building), as well as with the school schedule (redesign the school day, week, or year to allow for instructional interventions for students and learning and collaboration for staff), curriculum changes should be implemented and allowed, and budget areas should be given flexibility. Additionally, Transformation requires technical assistance to be provided by either the LEA or a Lead Partner associated with the Transformation School. This flexibility and technical assistance should be occurring throughout the three years of the school improvement grant.

11. Restart Model Notes:
Schools who choose the Restart Model will inadvertently be implementing the many aspects of turnaround or transformation as they will be converting a school, or closing and reopening a school, under a charter school operator, or charter or educational management organization. This charter school operator, or management organization, will implement its own principles in restarting the school. The Restart school must enroll within the grades it served, any former students who wish to attend.

12. Closure Model Notes:
In the Closure Model, a school would close and work to enroll the students in other high achieving schools within the LEA.

13. Sustainability Notes:
Sustainability, or the capacity to endure, is a very difficult area to accomplish when schools are given large amounts of money for a short period of time. In school improvement, sustainability is specific to the school's capacity to keep important and successful changes in the school after moving out of the "grant zone". Programs, policies, and procedures are the strongest areas to enact change and the easiest pieces to sustain.

When schools apply for the three year school improvement grant the systems and organizations – the infrastructure of change – need to be considered. Going along with this, thoughtful budgeting to continue with successful programs, additional staff, and other needs of the improvement plan must be at the forefront of planning.

The following charts are used as tools by other state education agencies with their local education agencies during school improvement grant implementation; they can also be used to help schools think about sustainability while planning for a school improvement grant.

When planning for your grant – consider the academic gains of an implemented measure in relation to the cost. If you are going to see low academic gains and the measure will be a high cost, this is probably not something that will help your school or be sustainable.

In addition to comparing gains versus cost, schools may consider what is mission critical – what needs to be implemented NOW and what may be a low-leverage item. The second chart shows some examples of possible Mission Critical and Low Leverage items. Think about what you are implementing and what may be low-leverage. Is it really the best use of funds? Will it be sustainable?

2 x 2 Chart for Comparing Programs' Return on Investment [9]

Plot each of your LEA and School SIG initiatives in one of the four squares in the chart below.

- Initiatives that were expensive but produced low academic gains are ones that are typically abandoned in short order.
- Initiatives that were low-cost but also produced low academic gains are also ones not worth keeping.
    - Those initiatives that had a high impact on academic gains but came with a high cost are worth keeping, but the challenge would be to secure funding to maintain the program.
    - Any initiatives that produced high academic gains and had a low cost attached to them are initiatives that should become part of what becomes "normal operating procedure" at your school.

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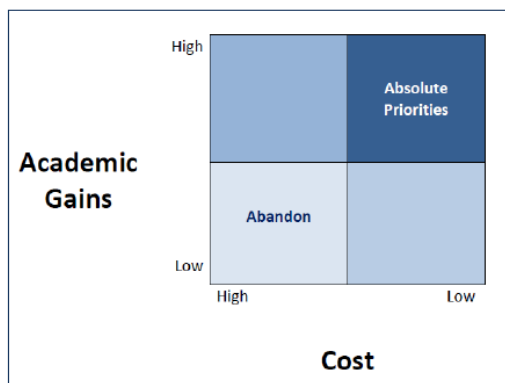
[9] Massachusetts Department of Elementary and Secondary Education (n.d.), Massachusetts' Approach to Supporting LEAs with Turnaround Sustainability Planning

CATEGORY		INVESTMENT	Y	N
Mission Critical	Strong Leaders	Ensure a transformational principal and high-capacity teachers in every school. • Replace leadership if required. • Replace teachers if required. • Provide compensation and other incentives to teachers and principals. • Provide additional leadership support (e.g., assistant principal or school business manager).		
	Expert teacher teams	Provide support and development for teacher teams to continuously improve instruction. • Give extra time for teacher collaboration. • Provide teacher leaders or coaches to build teacher capacity. • Report data on student performance.		
	Help for at-risk students	Guarantee baseline health, social, and emotional support to students to ensure readiness for learning.		
Important, But . . .	School designs driven by student needs	Provide additional time and attention to accelerate learning. • Expand instructional time. • Provide small group instruction or tutoring for struggling students that is integrated with core instruction.		
	Central Support	Provide additional school supervisory support and attention.		
Low Leverage		• Reduce class size across the board. • Introduce standalone tutoring or other academic support programs. • Provide additional time that is not integrated with core programs (e.g., afterschool, summer).		
Please describe which of those investments you plan to sustain and how you plan to so:				

Using the chart above, place a check mark in the "Y" (Yes) or "N" (No) column to indicate if the investment was one of your SIG initiatives. Based on your SIG experience, please describe which of those investments you plan to sustain and how you plan to so.

Part 7: LEA Capacity to Implement the Improvement Model

1. All districts, regardless of the school improvement model chosen, are to complete the table in part 7.
2. There are seven required LEA commitments or actions that districts have already taken or *plan to take in the upcoming three year commitment.*
3. A clear process for modifying practices and policies to enable full and effective implementation of the selected model, interventions, and/or school improvement activities must be present.
4. It should be clear that the School Board, Superintendent, and teacher's union are fully committed to eliminating barriers to allow for full implementation of the chosen model.
5. Clear and strong evidence should be provided for each capacity task.
6. For evidence, please reference any attachments included and provide a description.
7. *Possible pieces of evidence may include: budgets, resumes, descriptions of hiring processes, meeting minutes, teacher union and other assurances, curriculum and professional development calendars, and evaluation system descriptions.*

Part 8: Selection of External Providers

1. The LEA might use external providers to provide technical expertise in implementing a variety of components of the school intervention models, such as helping a school evaluate its data and determine what changes are needed based on those data; providing job-embedded professional development; designing an equitable teacher and principal evaluation system that relies on student achievement; and creating safe school environments that meet students' social, emotional, and health needs.
2. Clear and strong evidence should be provided for each capacity task.
3. *Possible questions to ask a potential provider:*
   - *What can a provider do for your school?*
   - *What experience does the provider?*
   - *What makes a provider's service unique and matched to your school's needs?*
   - *What type of services will be offered (e.g., onsite or off-site meetings, small group or whole staff meetings, meetings utilizing technology)?*
   - *How will the provider structure the planning and/or subsequent years?*
   - *What resources will be available to you during the planning year (e.g., technology, handouts, or templates)?*
   - *How much time will be needed from school staff?*
   - *How will the provider ensure that capacity of school staff is being developed during the time of services?*
   - *How much will services cost?*
   - *How will the progress of the provider be monitored?*
   - *What action steps will be taken if the provider is not meeting the anticipated outcomes?*

Part 9: Budget

1. It is essential that the school improvement plan drive the funding, rather than the funding drive the plan.
2. Budgeting should be thoughtful, reasonable, allocable, and necessary.
3. Strong use of funds will reflect expenditures related to programs, policies, and procedures.
4. Technology purchases should clearly support implementation of particular strategies and professional development as part of the reform effort. Technology purchases in year three are not advisable.
5. The Title I Fiscal Guidance Handbook is a great reference to use when completing your budget. The sections on *Supplement Not Supplant (pgs. 28-31) and Allowable Uses of Title I Funds (pgs. 32-35)* would be especially helpful in planning budgets for school improvement grants. The Title I Fiscal Guidance Handbook can be found under "Title I Essentials" on the Title I page of the IDOE website: http://www.doe.in.gov/titlei
6. USDOE guidance is schools may apply for up to 2 million dollars for each year of the grant. IDOE will review all proposed budgets for reasonable, allocable, and necessary expenditures. IDOE's hope is that Cohort IV will be one of our largest Cohorts. Our overall budget for this cohort is $8,643,769.